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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
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| 10/662,334 | 09/16/2003 | Yukio Tajima | 117192 | 9252 |

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| EXAMINER | |
|---|---|
| WEINTROP, ADAM S | |
| **ART UNIT** | **PAPER NUMBER** |
| 2109 | |

| SHORTENED STATUTORY PERIOD OF RESPONSE | MAIL DATE | DELIVERY MODE |
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| 3 MONTHS | 03/07/2007 | PAPER |

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

| Office Action Summary | Application No. | Applicant(s) | |
|---|---|---|---|
| | 10/662,334 | TAJIMA ET AL. | |
| | Examiner | Art Unit | |
| | Adam S. Weintrop | 2109 | |

*-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --*

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1)☐ Responsive to communication(s) filed on _____.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

4)☒ Claim(s) *1-20* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-20* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

**Application Papers**

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *16 September 2003* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

12)☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☒ All b)☐ Some * c)☐ None of:

1.☒ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date [redacted], *3/22/06, 11/10/03*.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

## DETAILED ACTION

### *Claim Objections*

1. **Claims 1-20** are objected to because of the following informalities:

Regarding **claim 1**, the terms "instruction data" on lines 6 and 10 have already been defined and need to be replaced with – the instruction data – to establish proper antecedent basis. The phrase "the notified specific event" on line 10 has not been defined and should be replaced with – a notified specific event --. The phrase "the content" on line 12 needs to be replaced with – content --. Also, the phrase "the interpretation result" on line 16 should be replaced with – an interpretation result –.

Regarding **claim 2**, the term "the content" on line 19 should be replaced with – content --. Also, the term "the setting content" on line 21 needs to be replaced with – setting content – as it has not been defined previously in the claims.

Regarding **claim 3**, the phrase "the creator information" on line 4 has not been defined and should be replaced with – creator information --.

Regarding **claim 4**, the term "instruction data" on line 13 has already been defined and needs to be replaced with – the instruction data – to establish proper antecedent basis. The phrase "the notified specific event" on line 10 has not been defined and should be replaced with – a notified specific event --. The phrase "the content of the identified instruction data" on line 15 needs to be replaced with – content of identified instruction data --. Also, the phrase "the interpretation result" on line 17 should be replaced with – an interpretation result –.

Regarding **claim 5**, the term "the content" on line 21 needs to be replaced with – content – since it has not been defined yet. Also, the term "the content" on line 23 needs to be replaced with – content – since it also has not been defined yet.

Regarding **claim 6**, the phrase "the creator information" on line 5 has not been defined and should be replaced with – creator information --.

Regarding **claim 7**, the terms "instruction data" on lines 12 and 16 have already been defined and need to be replaced with – the instruction data – to establish proper antecedent basis. The phrase "the notified specific event" on line 16 has not been defined and should be replaced with – a notified specific event --.

Regarding **claim 8**, the term "the content" on line 23 needs to be replaced with – content – since it has not been defined yet. Also, the term "the content" on line 25 needs to be replaced with – content – since it also has not been defined yet.

Regarding **claim 9**, the phrase "the creator information" on line 8 has not been defined and should be replaced with – creator information --.

Regarding **claim 10**, the term "instruction data" on line 17 has already been defined and needs to be replaced with – the instruction data – to establish proper antecedent basis. The phrase "the notified specific event" on line 14 has not been defined and should be replaced with – a notified specific event --.

Regarding **claim 11**, the term "the content" on line 23 needs to be replaced with – content – since it has not been defined yet. Also, the term "the content" on line 25 needs to be replaced with – content – since it also has not been defined yet.

Regarding **claim 12**, the term "the creator information" on line 7 has not been defined and should be replaced with – creator information --.

Regarding **claim 13**, the terms "instruction data" on lines 14 and 18 have already been defined and need to be replaced with – the instruction data – to establish proper antecedent basis. The phrase "the notified specific event" on line 18 has not been defined and should be replaced with – a notified specific event --.

Regarding **claim 14**, the term "the content" on line 25 needs to be replaced with – content – since it has not been defined yet. Also, the term "the content" on line 2 needs to be replaced with – content – since it also has not been defined yet.

Regarding **claim 15**, the term "the creator information" on line 10 has not been defined and should be replaced with – creator information --.

Regarding **claim 16**, the term "instruction data" on line 18 has already been defined and needs to be replaced with – the instruction data – to establish proper antecedent basis. The phrase "the notified specific event" on line 15 has not been defined and should be replaced with – a notified specific event --. The phrase "the identified instruction data" on line 20 needs to be replaced with – identified instruction data --.

Regarding **claim 17**, the term "the content" on line 24 needs to be replaced with – content – since it has not been defined yet. Also, the term "the content" on line 2 needs to be replaced with – content – since it also has not been defined yet.

Regarding **claim 18**, the term "the creator information" on line 9 has not been defined and should be replaced with – creator information --.

Regarding **claim 19**, the term "the outside" on line 13 has not been defined and should be replaced with – outside --.

Appropriate correction is required.

***Claim Rejections - 35 USC § 101***

2. 35 U.S.C. 101 reads as follows:

> Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

**Claims 1, 4, 7, 10, 13, and 16** are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

**Claims 1, 7, and 13** are directed towards apparatuses that have a storing unit, an identifying unit, an interpreting unit as seen in claim 1, a cooperative processing unit as seen in claim 1, and a sending unit as seen in claims 7 and 13. The storing unit already has the information stored thereon and the rest of the apparatus simply accesses the information and sends the information to execute processes, thus the apparatuses do not produce a real world output such as storing or displaying, and are therefore non-statutory. In order for a claim to be statutory, the claim must have a concrete, tangible, and useful result.

**Claims 4, 10, and 16** are directed towards methods that identify, interpret as seen in claim 4, send as seen in claims 10 and 16, and make a process execute, however they do not produce a tangible result such as storing or displaying and are

therefore non-statutory. In order for a claim to be statutory, the claim must have a concrete, tangible, and useful result.

***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

4. **Claims 1-20** are rejected under 35 U.S.C. 102(b) as being anticipated by Kito et al. (US 5,946,464).

Regarding **claim 1**, Kito et al. discloses a service processing apparatus comprising: a storing unit (column 3, lines 14-16, where the memory means can store information pieces) in which are stored (a) instruction data in which are described at least a location of processing document data and a content of plural service processes to be executed on the document data (column 5, lines 26-31 and Figures 16,17, and 18, where the agent definition information contains within it a location of the document to be processed – such as in Figure 17, Item 1080 with the location being "newly-received library") and (b) a correspondence relation between instruction data that is to be processed when a specific event occurs and the specific event (column 5, lines 26-31, and Figures 16-18, where triggering information is stored with the agent definition information such as in Figure 16, with the instruction data being to "DeleteMail" as seen in Item 0100, and the specific event being "Friday at 23:00" as seen in Items 0070 and

0080); an identifying unit that identifies, when notification that the specific event has occurred is given by at least one of plural service processing apparatuses each connected to a network instruction data corresponding to the notified specific event on the basis of the correspondence relation (column 2, lines 43-45, and column 7, lines 23-28, where the trigger monitoring unit is seen as the identifying unit since it identifies when a specific event has occurred and informs another unit of the agent definition information associated with the triggering event, and column 2, lines 30-32, with all servers and clients operating on a network); an interpreting unit that interprets the content of the identified instruction data (column 7, lines 54-67 and column 8, lines 1-4, with the filtering unit seen as the interpreting unit since it reads the information file and checks its coincidence to start the action corresponding to the event); and a cooperative processing unit that makes the plural service processing apparatuses cooperatively execute the plural service processes on the document data on the basis of the interpretation result of the interpreting unit (column 8, lines 13-16 and lines 34-35, with the action request processing unit seen as the cooperative processing unit since it received information to begin the action and instructs action operations as specified by the action information).

Regarding **claims 2, 8, and 14**, Kito et al. discloses the service processing apparatus of claims 1, 7, and 13, further comprising: a setting unit that sets the instruction data and the content of the specific event serving as a processing timing of the instruction data (Figure 4, with the Agent Motion Trigger setting the timing of the specific event and the Agent Operation setting the instruction data to be performed);

and a generating unit that generates, on the basis of the setting content set by the setting unit, the correspondence relation and instruction data for executing the plural service processes on the document data (Figures 16-18, with the agent information file containing instruction data and the triggering event data, and column 6, lines 26-31, where the agent client makes an agent definition information file from the settings of the user), and stores the correspondence relation and the instruction data in the storing unit (column 3, lines 13-16, where each unit may have memory means for storing information pieces).

Regarding **claims 3, 9, and 15**, Kito et al. discloses the service processing apparatus of claims 2, 8, and 14, further comprising an authenticating unit that authenticates a creator of the instruction data (column 9, lines 64-66, where based on the agent identification information, the event request occurs, this is equivalent to authenticating a user to trigger an event since the identification information is checked before every event execution), wherein the generating unit associates information of the creator of the instruction data with the instruction data and stores the creator information and the instruction data in the storing unit (column 6, lines 32-45, with the agent identification information stored with the agent definition information).

Regarding **claim 4**, Kito et al. discloses a service processing method comprising: identifying, when notification that a specific event has occurred is given by at least one of plural service processing apparatuses each connected to a network (column 7, lines 41-49, with the trigger monitor unit monitoring for specific events of apparatuses connected to a network as seen and in column 2, lines 53-60, with the trigger unit being

a part of any groupware function server and column 2, lines 25-32 with the groupware function servers being connected on a network), instruction data that corresponds to the notified specific event and in which are described at least a location of processing document data and a content of plural service processes to be executed on the document data (column 5, lines 26-31 and Figures 16,17, and 18, where the agent definition information contains within it a location of the document to be processed – such as in Figure 17, Item 1080 with the location being "newly-received library" and column 5, lines 26-31, and Figures 16-18, where triggering information is stored with the agent definition information such as in Figure 16, with the instruction data being to "DeleteMail" as seen in Item 0100, and the specific event being "Friday at 23:00" as seen in Items 0070 and 0080), on the basis of a correspondence relation between the specific event and instruction data that is to be processed when the specific event occurs (column 2, lines 43-45, and column 7, lines 23-28; where the trigger monitoring unit identifies when a specific event has occurred and informs another unit of the agent definition information associated with the triggering event); interpreting the content of the identified instruction data (column 7, lines 54-67 and column 8, lines 1-4, with the filtering unit seen as able to interpret since it reads the information file and checks its coincidence to start the action corresponding to the event); and making the plural service processing apparatuses cooperatively execute the plural service processes on the document data on the basis of the interpretation result of the interpreting step (column 8, lines 13-16 and lines 34-35, with the action request processing unit seen as

the being able to make the processes execute since it receives information to begin the action and instructs action operations as specified by the action information).

Regarding **claims 5, 11, and 17**, Kito et al. discloses the service processing method of claims 4, 10, and 16, further comprising: setting the instruction data and the content of the specific event serving as a processing timing of the instruction data (Figure 4, with the Agent Motion Trigger setting the timing of the specific event and the Agent Operation setting the instruction data to be performed); and generating, on the basis of the content set by the setting step, the correspondence relation and instruction data for executing the plural service processes on the document data, and storing the correspondence relation and the instruction data in a storing unit (Figures 16-18, with the agent information file containing instruction data and the triggering event data, and column 6, lines 26-31, where the agent client makes an agent definition information file from the settings of the user and column 3, lines 13-16, where each unit may have memory means for storing information pieces).

Regarding **claims 6, 12, and 18**, Kito et al. discloses the service processing method of claims 5, 11, and 17, further comprising authenticating a creator of the instruction data (column 9, lines 64-66, where based on the agent identification information, the event request occurs, this is equivalent to authenticating a user to trigger an event since the identification information is checked before every event execution), wherein information of the creator of the instruction data is associated with the instruction data, and the creator information and the instruction data are stored in

the storing unit in the generating step (column 6, lines 32-45, with the agent identification information stored with the agent definition information).

Regarding **claim 7**, Kito et al. discloses a service processing apparatus comprising: a storing unit (column 3, lines 14-16, where the memory means can store information pieces) in which are stored (a) instruction data in which are described at least a location of processing document data and a content of plural service processes to be executed on the document data (column 5, lines 26-31 and Figures 16,17, and 18, where the agent definition information contains within it a location of the document to be processed – such as in Figure 17, Item 1080 with the location being "newly-received library") and (b) a correspondence relation between instruction data that is to be processed when a specific event occurs and the specific event (column 5, lines 26-31, and Figures 16-18, where triggering information is stored with the agent definition information such as in Figure 16, with the instruction data being to "DeleteMail" as seen in Item 0100, and the specific event being "Friday at 23:00" as seen in Items 0070 and 0080); an identifying unit that identifies, when notification that the specific event has occurred is given by at least one of plural service processing apparatuses each connected to a network, instruction data corresponding to the notified specific event on the basis of the correspondence relation (column 2, lines 43-45, and column 7, lines 23-28, where the trigger monitoring unit is seen as the identifying unit since it identifies when a specific event has occurred and informs another unit of the agent definition information associated with the triggering event, and column 2, lines 30-32, with all servers and clients operating on a network); and a sending unit that sends the

instruction data identified by the identifying unit to a cooperative processing apparatus that cooperatively executes the plural service processes on the document data (column 7, lines 66-67, column 8, lines 1-4, where the result of the filtering is sent to the action request processing unit, and this is seen as equivalent to sending the instruction data to a processing apparatus, and column 8, lines 34-35, where the action operations are executed in response to the action information).

Regarding **claim 10**, Kito et al. discloses a service processing method comprising: identifying, when notification that a specific event has occurred is given by at least one of plural service processing apparatuses each connected to a network (column 7, lines 41-49, with the trigger monitor unit monitoring for specific events of apparatuses connected to a network as seen and in column 2, lines 53-60, with the trigger unit being a part of any groupware function server and column 2, lines 25-32 with the groupware function servers being connected on a network), instruction data that corresponds to the notified specific event and in which are described at least a location of processing document data and a content of plural service processes to be executed on the document data (column 5, lines 26-31 and Figures 16,17, and 18, where the agent definition information contains within it a location of the document to be processed – such as in Figure 17, Item 1080 with the location being "newly-received library" and column 5, lines 26-31, and Figures 16-18, where triggering information is stored with the agent definition information such as in Figure 16, with the instruction data being to "DeleteMail" as seen in Item 0100, and the specific event being "Friday at 23:00" as seen in Items 0070 and 0080), on the basis of a correspondence relation

between the specific event and instruction data that is to be processed when the specific event occurs (column 2, lines 43-45, and column 7, lines 23-28, where the trigger monitoring unit identifies when a specific event has occurred and informs another unit of the agent definition information associated with the triggering event); sending the identified instruction data to a cooperative processing apparatus that cooperatively executes the plural service processes on the document data (column 7, lines 66-67, column 8, lines 1-4, where the result of the filtering is sent to the action request processing unit, and this is seen as equivalent to sending the instruction data to a processing apparatus, and column 8, lines 34-35, where the action operations are executed in response to the action information).

Regarding **claim 13**, Kito et al. discloses a service processing apparatus comprising: a storing unit (column 3, lines 14-16, where the memory means can store information pieces) in which are stored (a) instruction data in which are described at least a location of processing document data and a content of plural service processes to be executed on the document data (column 5, lines 26-31 and Figures 16,17, and 18, where the agent definition information contains within it a location of the document to be processed – such as in Figure 17, Item 1080 with the location being "newly-received library") and (b) a correspondence relation between instruction data that is to be processed when a specific event occurs and the specific event (column 5, lines 26-31, and Figures 16-18, where triggering information is stored with the agent definition information such as in Figure 16, with the instruction data being to "DeleteMail" as seen in Item 0100, and the specific event being "Friday at 23:00" as seen in Items 0070 and

0080); an identifying unit that identifies, when notification that the specific event has occurred is given by at least one of plural service processing apparatuses each connected to a network, instruction data corresponding to the notified specific event on the basis of the correspondence relation (column 2, lines 43-45, and column 7, lines 23-28, where the trigger monitoring unit is seen as the identifying unit since it identifies when a specific event has occurred and informs another unit of the agent definition information associated with the triggering event, and column 2, lines 30-32, with all servers and clients operating on a network); and a sending unit that sends the instruction data identified by the identifying unit to another service processing apparatus that conducts a service process on the document data described in the instruction data (column 8, lines 24-35, where the result of the filtering is sent to the action request processing unit and then that activates other processing units, such as the mail processing unit to a process a service on the data from the action information).

Regarding **claim 16**, Kito et al. discloses a service processing method comprising: identifying, when notification that a specific event has occurred is given by at least one of plural service processing apparatuses each connected to a network (column 7, lines 41-49, with the trigger monitor unit monitoring for specific events of apparatuses connected to a network as seen and in column 2, lines 53-60, with the trigger unit being a part of any groupware function server and column 2, lines 25-32 with the groupware function servers being connected on a network), instruction data that corresponds to the notified specific event and in which are described at least a location of processing document data and a content of plural service processes to be executed

on the document data (column 5, lines 26-31 and Figures 16,17, and 18, where the agent definition information contains within it a location of the document to be processed – such as in Figure 17, Item 1080 with the location being "newly-received library" and column 5, lines 26-31, and Figures 16-18, where triggering information is stored with the agent definition information such as in Figure 16, with the instruction data being to "DeleteMail" as seen in Item 0100, and the specific event being "Friday at 23:00" as seen in Items 0070 and 0080), on the basis of a correspondence relation between the specific event and instruction data that is to be processed when the specific event occurs (column 2, lines 43-45, and column 7, lines 23-28, where the trigger monitoring unit identifies when a specific event has occurred and informs another unit of the agent definition information associated with the triggering event); and sending the identified instruction data to another service processing apparatus that conducts a service process on the document data described in the instruction data (column 8, lines 24-35, where the result of the filtering is sent to the action request processing unit and then that activates other processing units, such as the mail processing unit to a process a service on the data from the action information).

Regarding **claim 19**, Kito et al. discloses the service processing apparatus of claim 1, wherein the specific event is reception of document data from the outside (column 10, lines 11-26, where the event can be a new document added to a new library binder and this is seen as equivalent to new data reception from the outside).

Regarding **claim 20**, Kito et al. discloses the service processing apparatus of claim 1, wherein the specific event is arrival of a predetermined time (column 9, lines 49-55, where the trigger information is set as a specific time such as 23:00).

***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Adam S. Weintrop whose telephone number is 571-270-1604. The examiner can normally be reached on Monday through Friday 7:30am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Frantz Jules can be reached on 571-272-6681. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

AW

2/28/07

FRANTZ JULES
SUPERVISORY PATENT EXAMINER